

PTO/SB/08A (08-03)

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Complete if Known	
		Application Number	10/631,165
		Filing Date	July 31, 2003
		First Named Inventor	Kimberly D. Seaman
		Art Unit	3692
		Examiner Name	Clement B. Graham
Sheet	1	of	6
		Attorney Docket Number	020673

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number – Kind Code ² (if known)			
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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

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Substitute for form 1449A/PTO				<div> <div> Application Number Filing Date First Named Inventor Art Unit Examiner Name </div> <div> 10/631,165 July 31, 2003 Kimberly D. Seaman 3692 Clement B. Graham </div> </div>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Attorney Docket Number 020673	
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PTO/SB/06B (08-03)

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		Examiner Name	Clement B. Graham
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		United States Patent Application No. 60/613,672, filed September 28, 2004 (Attorney Docket No. 030991P).	
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		"Tool aids compliance with USA Patriot Act," <i>InvestmentNews</i> , October 20, 2003, page 27.	

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		SATISH M. KINI, "Designing Robust Anti-Money Laundering Programs for Mutual Funds," printed from https://www.at-aba.org/alibaba/BUSINESS/BUSWQS_Oct04.pdf , Internet site, accessed on 1/27/2005, 12 pages.	
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